

11/30/01

1130 U.S. PTO

Please type a sign (+) inside this box → ☐

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

PZ037P1C1

First Inventor

Brannock, M.

Title

33 Human Secreted Proteins

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages: 353]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets: 1]
5. ☒ Oath or Declaration [Total Pages: 12]  
[3 pages in 4 counterparts]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in  
the prior application, see 37 CFR "1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76. [8 pages]

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☒ paper [Total Pages: 94]  
c. ☒ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & documents) [8 pages]  
(2 pages in 4 counterparts from prior application)
10. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement/ Form PTO/SB/08  
☐ Copies of Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other: Request Under 37 C.F.R. § 1.821(e); Revocation  
of Prior Powers of Attorney

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

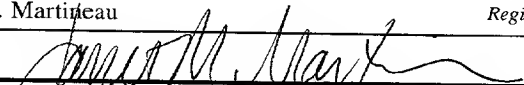
☒ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No. 09/628,508, filed July 28, 2000  
Prior application information: Examiner: Brannock, M. Group/Art Unit: 1646

For CONTINUATION OR DIVISIONAL APPS only. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the  
accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted  
application parts.

**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

22195

or ☐ Correspondence address below

NAME					
ADDRESS					
CITY	STATE	ZIP CODE			
COUNTRY	TELEPHONE	FAX			
NAME (Print/Type)	Janet M. Martineau		Registration No (Attorney/Agent)	46,903	
SIGNATURE			Date:	November 30, 2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the  
amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO  
NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

11/30/01  
3135 U.S. PTO

PTO/SB/17 (10-01)  
Approved for use through 10/31/2002 OMB 0651-0032  
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	Unassigned
Filing Date	Herewith
First Named Inventor	Soppet et al.
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket Number	PZ037P1C1

Total amount of payment **\$812.00**

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number **08-3425**

Deposit Account Name **Human Genome Sciences, Inc.**

- ☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17
- ☐ Applicant claims small entity status  
See 37 CFR 1.27

2. ☐ Payment Enclosed:  
☐ Check ☐ Credit Card ☐ Money Order ☐ Other\*

## FEE CALCULATION

### BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		301	740	201	370	Utility filing fee	\$740.00
		106	330	206	165	Design filing fee	
		107	510	207	255	Plant filing fee	
		108	740	208	370	Reissue filing fee	
		114	160	214	80	Provisional filing fee	

**SUBTOTAL (1) \$740.00**

### EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
24	3		4	\$18.00	\$72.00
			0	\$84.00	\$0.00
				\$280.00	

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
		103	18	203	9	Claims in excess of 20
		102	84	202	42	Independent claims in excess of 3
		104	280	204	140	Multiple dependent claim, if not paid
		108	84	209	42	** Reissue independent claims over original patent
		110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$72.00**

\*\* or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use hearing	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
145	100	145	100	Certificate of correction	
148	110	248	55	Statutory disclaimer	
561	3	561	3	Printed copy of patent, regular service	

Other fee (specify):

Other fee (specify):

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) \$0.00**

## Submitted By

Name (Print/Type) Janet M. Martineau

Registration No.: 46,903

Telephone: (301) 315-2723

Signature:

Date: November 30, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

VIA HAND DELIVERY NOVEMBER 30, 2001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Soppet et al.

Attorney Docket No.: PZ037P1

Application Serial No.: 09/628,508

Art Unit: 1646

Filed: July 28, 2000

Examiner: Brannock, M.

Title: 33 Human Secreted Proteins

**PETITION FOR EXTENSION OF TIME UNDER 37 C.F.R. §1.136(a)**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

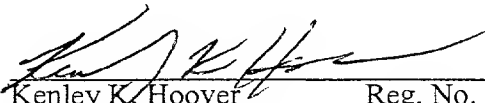
Applicants petition the Commissioner for Patents to extend the time for response to the Office Action mailed October 2, 2001 for one (1) month from November 2, 2001, to and including December 3, 2001 (December 2, 2001 being a Sunday). Applicants note that a Continuation Application request is being filed concurrently in lieu of a response to the outstanding Office Action. Please charge our Deposit Account No. 08-3425 in the following amount to cover the cost of the extension:

- ☒ \$110.00 (Extension for response within first month)  
☐ \$400.00 (Extension for response within second month)  
☐ \$920.00 (Extension for response within third month)

The Commissioner is also authorized to charge any additional required fee or credit any overpayment in connection with this submission to our Deposit Account No. 08-3425.

Respectfully submitted,

Dated: November 30, 2001

  
Kenley K. Hoover Reg. No. 40,302  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, MD 20850  
Telephone: (301) 610-5771

KKH/JMM/CEW/ba

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Soppet et al.

Attorney Docket No.: PZ037P1C1

Application Serial No.: Unassigned

Art Unit: Unassigned

Filed: Herewith

Examiner: Unassigned

Title: 33 Human Secreted Proteins

**REQUEST UNDER 37 C.F.R. § 1.821(e)**

Commissioner for Patents  
Washington, D.C. 20231

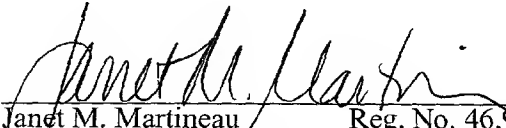
Sir :

The above-identified patent application is a continuation of Application Serial No. 09/628,508, filed July 28, 2000. The sequence listing of the instant application is identical to the sequence content of the computer readable sequence listing previously filed in connection with Application Serial No. 09/628,508.

In accordance with 37 C.F.R. § 1.821(e), please use the computer readable form filed in connection with Application Serial No. 09/628,508 as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is included in the specification of the instant application filed herewith. Applicants hereby certify that the paper copy of the Sequence Listing filed herewith and the computer readable sequence listing previously filed in connection with Application Serial No. 09/628,508 are the same and do not include new matter.

Respectfully submitted,

Date: November 30, 2001

  
Janet M. Martineau Reg. No. 46,903  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, MD 20850  
Telephone: (301) 315-2723

KKH/JMM/CAW/ba